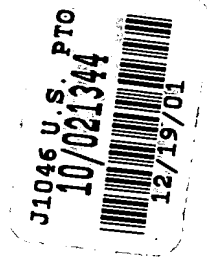


#3 4/22/02

Patent
Attorney's Docket No. 004501-623

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of)	
Alec STOTHERT et al.)	Group Art Unit: Unassigned
Application No.: Unassigned)	Examiner: Unassigned
Filed: December 19, 2001)	
For: OPTIMIZING PLANT CONTROL)	
VALUES OF A POWER PLANT)	



INFORMATION DISCLOSURE STATEMENT
TRANSMITTAL LETTER

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

Enclosed is an Information Disclosure Statement and accompanying form PTO-1449 for the above-identified patent application.

- ☒ No additional fee for submission of an IDS is required.
- ☐ The fee of \$180.00 (126) as set forth in 37 C.F.R. § 1.17(p) is also enclosed.
- ☐ A certification under 37 C.F.R. § 1.97(e) is also enclosed.
- ☐ A certification under 37 C.F.R. § 1.97(e), and the fee of \$180.00 (126) as set forth in 37 C.F.R. § 1.17(p) are also enclosed.
- ☐ Charge \$_____ to Deposit Account No. 02-4800 for the fee due.
- ☐ A check in the amount of \$_____ is enclosed for the fee due.

The Commissioner is hereby authorized to charge any appropriate fees under 37 C.F.R. §§ 1.16, 1.17 and 1.21 that may be required by this paper, and to credit any overpayment, to Deposit Account No. 02-4800. This paper is submitted in duplicate.

Respectfully submitted,

BURNS, DOANE, SWECKER & MATHIS, L.L.P.

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Registration No. 19,885

Date: December 19, 2001

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ZÜRICH / SWITZERLAND



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of

Alec STOTHERT, Eduardo GALLESTEY-ALVAREZ, Markus AHRENS, Marc
ANTOINE, Steve MORTON

(inventors)

claiming Priority under 35 U.S.C. 119

of application No.: 00811220.3

in: EUROPE

with filing date of: 21/December 2000

U.S. Serial Number:

U.S. filing date:

Title: Optimizing plant control values of a power plant

INFORMATION DISCLOSURE STATEMENT UNDER 37 CFR 1.97

Honorable Commissioner of Patents and Trademarks, Washington, D.C. 20231

Sir:

Submitted herewith is a Search Report/Examination Report issued in a corresponding foreign patent application by the

European Patent Office	(x)
German Patent Office	()
_____	()

1. We wish to make of record the certain citations listed in the Search Report/Examination Report in accordance with 37 CFR 1.97.

2. The relevance of each listed item with regard to the different claims of the above-identified application according to the opinion of the Search Authority/Examination Authority, is indicated in the Search Report/Examination Report

by reference to certain categories which are explained on the Report sheet or in MPEP on page 1800 - 55, resp. (x)

3. The claims as filed in the above-identified U.S. patent application

correspond to ☒ (x)

are different from ☐ ()

the claims for which the Search Report/Examination Report has been established.

4. Copies of the references cited are enclosed herewith.

All citations ☒ (x)

All relevant citations except U.S. patents ☐ ()

5. English translations of pertinent portions of any non-English references are enclosed herewith, if such translation is readily available.

6. No copies are enclosed herewith of references which are characterized by an "A" in the Search Report/Examination Report, since "A" indicates that such reference is not relevant for the invention. ☐ ()

Additionally, copies of the references cited in the specification are enclosed. ☒ (X)

Respectfully submitted,

Date: 12th November, 2001

by:  _____

Markus Müller

Substitute for form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

 ATTORNEY'S DKT No.
004501-623

 APPLICATION No.
Unassigned

 APPLICANT
Alec STOTHERT et al.

 FILING DATE
December 19, 2001

 GROUP
Unassigned

 J11046 U.S. PTO
10/01/1344


U.S. PATENT DOCUMENTS

Examiner Initials	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication (MM-DD-YYYY)
	Number	Kind Code (if known)		
	5,347,466		Nichols et al.	09-13-1994
	5,886,895		Kita et al.	03-23-1999

FOREIGN PATENT DOCUMENTS

Examiner Initials	Foreign Patent Document		Country	Date of Publication (MM-DD-YYYY)	Translation	
	Number	Kind Code (if known)			Yes	no

NON PATENT LITERATURE DOCUMENTS

Examiner Initials	Include name of author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.
	G. Kralj et al. "Multiobjective Programming in Power System Organization: New Approach to Generator Maintenance Scheduling" International Journal of Electrical Power and Energy Systems, Vol. 16, no. 4, August 1994 (1994-08), pages 211-220, XP001001102, UK
	D. Lin et al., "Optimal System Design Considering Warranty, Periodic Preventive Maintenance, and Minimal Repair" Journal of the Operational Research Society, Vol. 51, no. 7 July 2000 (2000-07), pages 869-875, XP001001320, UK
	J. Rupe et al. "Optimal-Maintenance Modeling on Finite Time with Technology Replacement and Changing Repair Costs" Proceeding of the 46 th International Symposium on Reliability and Maintainability-Product Quality and Integrity, January 24, 2000, pages 269-275, XP001001268, USA
	C. SU et al. "Minimizaton of the Life Cycle Cost for a Multistate System Under Periodic Maintenance" International Journal of Systems Science, Vol. 31, no. 2, February 2000 (2000-02), pages 217-227, XP001001321, UK
	A. AHMAD et al. "A Practical Model for Generator Maintenance Scheduling with Transmission Constraints" Electrical Machines and Power Systems, Vol. 28, no. 6, June 2000 (2000-06), pages 501-513, XP001001322, USA
Examiner Signature	Date Considered

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. SEND TO: Assistant Commissioner for Patents, Washington, D.C. 20231.